

PATENT

(Practitioner's Docket No. IN-5551)

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Manuela ARMBRUST , Wolfgang  
BREMSER, Horst HINTZE-BRÜNING,  
Wilfried STÜBBE, Peter BETZ and  
Christel EHLIGSerial No.: This application is a National  
Phase of Patent Application  
PCT/EP00/08031 filed 17 August 2000.

Filed: Tuesday, February 12, 2002

For: SOL-GEL COATING  
Commissioner of Patents  
Washington, D.C. 20231

Group Art Unit: Not Assigned

Examiner: Not Assigned

EXPRESS MAIL CERTIFICATE"Express Mail" label number EH468390693US Date of Deposit February 12, 2002

I hereby certify that the following attached paper or fee

<input checked="" type="checkbox"/>	Information Disclosure Statement
<input checked="" type="checkbox"/>	From PTO-1449
<input checked="" type="checkbox"/>	Cited References
<input checked="" type="checkbox"/>	International Search Report

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)

  
Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

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**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g) ), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

- ☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

**COPIES PROVIDED:**

- ☒ Legible copies of all items listed on Form PTO-1449 accompany this information statement, except as indicated below:
- ☐ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [ ], filed on [ ]. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

Information Disclosure Statement  
Page 2

- ☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [ ] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

**FOREIGN LANGUAGE DOCUMENTS**

- ☐ There are no foreign language documents listed on Form PTO-1449.
- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:
- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.

☒ x

The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:

Cited	English Equiv.
DE19524182	<b>5726258</b>
DE19613547	<b>5,965,213</b>
DE19709465	English Abstract
DE19709476	<b>5690569</b>
DE2818100	<b>4,220,679</b>
DE2848906	English Abstract
DE3333072	<b>4576868</b>
DE3407087	<b>4746366</b>
DE3628124	<b>4,851,460</b>
DE3706095	<b>5,079,312</b>
DE3807571	<b>4,895,910</b>
DE3814853	<b>4,981,759</b>
DE3828098	English Abstract
DE3903804	English Abstract
DE4011045	English Abstract
DE4020316	English Abstract
DE4025215	English Abstract
DE4122743	English Abstract
DE4204518	<b>5,516,559</b>
DE4222194	<b>5,601,878</b>
DE4303570	English Abstract
DE4328092	English Abstract
DE4421823	6,309,707
EP069936	English Abstract
EP089497	<b>4,489,135</b>
EP195931	<b>4,730,020</b>
EP228003	<b>4,914,148</b>
EP234361	<b>4,945,128</b>
EP234362	<b>5,075,372</b>
EP256540	<b>4,880,867</b>
EP260447	<b>4,851,460</b>
EP297576	English Abstract
EP397806	<b>5,370,910</b>
EP521928	<b>5,334,420</b>
EP522419	<b>5,691,425</b>
EP522420	<b>CA2073115</b>
EP523610	<b>5,418,264</b>
EP536712	<b>CA2078650</b>
EP540884	<b>CA2079498</b>
EP543817	<b>5,760,128</b>
EP554783	<b>5576386</b>
EP568967	5425970
EP574417	5,368,944
EP581211	5,342,882
EP584818	<b>CA2104845</b>
EP593454	<b>5,601,880</b>
EP596460	<b>CA2102169</b>

EP596461	CA2102170
EP604992	English Abstract
EP634431	CA2127761
EP649865	5,571,861
EP669356	5,569,705
EP678536	5,654,391
EP708788	US Application No. 08/564,304 filed 01/22/96.
GB2012191	
WO9222615	Abstract
WO9422968	Abstract
WO9422969	Abstract
WO9514721	Abstract
WO9527742	5447998
WO9612747	English Abstract
WO0053687	English Abstract
EP 436 941	CA 2033530

Information Disclosure Statement  
Page 4

☒ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.

☐ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:

☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

**CERTIFICATION:**

☒ The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.

☐ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:

☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

Information Disclosure Statement  
 Page 5

- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**
- ☐ Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$230.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**
- ☐ Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of **\$130.00** to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation Deposit Account No. 23-3425 for any additional fees due hereunder.

Respectfully submitted,

*Michael Morgan* 2-11-02  
 Michael F. Morgan Reg No. 42,906  
 BASF Corporation  
 26701 Telegraph Road  
 Southfield, Michigan 48034-2442  
 Tel. No.: (248) 948-2355

FORM PTO-1449  
(MODIFIED)US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN 551

**LIST OF ART CITED BY APPLICANT**  
(Use sever of sheets if necessary)

In re Application of: ARMBUST et al.

Serial No.: Herewith

Filed: February 12, 2002

**U.S. PATENT DOCUMENTS**

Examiner - initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
.	AA	4,851,460	7/25/89	Stranghöner et al.	523	407	8/18/87
	AB	4,914,148	4/3/90	Hille et al.	524	507	12/11/86
	AC	4,945,128	7/31/90	Hille et al.	524	591	82/6/87
	AD	5,342,882	8/30/94	Göbel et al.	524	832	7/22/93
	AE	5,571,861	11/5/96	Klein et al.	524	591	10/21/94
	AF	5,569,705	10/29/96	Vogt-Birnbrich et al.	524	591	2/27/95
	AG	5,691,425	11/25/97	Klein et al.	525	455	7/2/92
	AH	5,726,258	3/10/98	Fischer et al.	526	64	7/1/96
	AI						
	AJ	4,746,366	5/24/88	Philipp et al.	106	287.19	3/17/86
	AK	4,730,020	3/8/88	Wilfinger et al.	524	555	2/27/86
	AA	4,895,910	1/23/90	Isozaki et al.	525	326.5	2/29/88
	AB	4,880,867	11/14/89	Gobel et al.	524	507	8/18/87
	AC	5,334,420	8/2/94	Hartung et al.	427	407.1	3/13/91
	AD	5,760,128	6/2/98	Baltus et al.	524	591	2/27/91
	AE	4,489,135	12/18/84	Drexler et al.	428	423.1	2/18/83
	AF	5,654,391	8/5/97	Göbel et al.	528	71	4/20/95
	AG	5,075,372	12/24/91	Hille et al.	524	839	2/6/87
	AH	5,368,944	11/29/94	Hartung et al.	428	423.1	2/1/92
	AI	5,370,910	12/6/94	Hille et al.	427	407.1	7/24/89
	AJ	3,639,147	2/1/72	Benefiel et al.	117	73	2/3/70
	AK	3,953,644	4/27/76	Camelon et al.	428	220	12/20/74

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**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*Applicant has modified this form by deleting the word "prior".

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US DEPARTMENT OF COMMERCE  
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**U.S. PATENT DOCUMENTS**

Examiner initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	4,268,542	5/19/81	Sakakibara et al.	427	195	1/25/79
	AB	4,675,234	6/23/87	Sachs et al.	428	328	4/17/85
	AC	4,719,132	1/12/88	Porter, Jr.	427	409	4/29/87
	AD	4,754,014	6/28/88	Ryntz et al.	528	28	2/24/87
	AE	5,356,669	10/18/94	Rehfuss et al.	427	407.1	10/23/92
	AF	5,474,811	12/12/95	Rehfuss et al.	427	407.1	5/11/94
	AG	5,605,965	2/25/97	Rehfuss et al.	525	100	2/25/97
	AH	5,418,264	5/23/95	Obloh et al.	523	414	3/3/94
	AI	5,601,880	2/11/97	Schwarte et al	427	407.1	8/5/94
	AJ	5,965,213	10/12/99	Sacharski et al.	427	475	4/4/96
	AK	5,601,878	2/11/97	Kranig et al.	427	386	6/23/93
	AA	5,516,559	5/14/96	Röckrath et al.	427	407.1	2/3/93
	AB	5,576,386	11/19/96	Kempter et al.	526	88	1/28/93
	AC	5,425,970	6/20/95	Lahrman et al.	427	493	5/6/93
	AD	5,079,312	1/7/92	Isozaki et al.	525	479	5/11/90
	AE	4,981,759	1/1/91	Nakatani et al.	428	626	5/2/88
	AF	5,368,944	11/29/94	Hartung	428	423.1	2/1/92
	AG	5,447,998	9/5/95	Grandy et al.	526	18/02	4/8/94
	AH	4,220,679	9/2/80	Backhouse	427	401	4/17/78
	AI	4,576,868	3/18/86	Poth et al.	428	423.1	9/14/84
	AJ	4,246,382	1/20/81	Honda et al.	526	79	11/6/78
	AK	6,309,707	10/30/01	Mayer et al.	427	386	12/20/96

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**FOREIGN PATENT DOCUMENTS**

Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AA	354 261 A1	11.08.88	EP	C08G	18/50	X	
	AB	669 356 A1	22.02.95	EP	C08G	18/83		X
	AC	401 565 A1	16.05.90	EP	C09D	5/02	X	
	AD	531 510 B1	23.03.92	EP	C08L	75/04	X	
	AE	543 817 B1	27.02.91	EP	C08G	18/08	X	
	AF	397 806 B1	24.07.89	EP	C08G	18/08		X
	AG	536 712 A2	7.10.92	EP	C09D	201/02		X
	AH	522 420 A2	30.06.92	EP	C08J	3/03	X	
	AI	594 142 A1	20.10.93	EP	C08L	57/12	X	
	AJ	299 148 A2	13.04.88	EP	C08G	18/08	X	
	AK	521 928 B1	13.03.91	EP	C08F	299/06		X
	AN	89 497 A2	21.02.83	EP	C09D	3/72		X
	AO	593 454 B1	09.03.91	EP	B05D	7/26		X
	AP	069 936 B1	02.07.82	EP	C09D	3/00		X

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

	AQ	English Abstract for EP 0 069 936 A2
	AR	English Abstract for DE 39 03 804 C2
	AS	
	AT	

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JC1253c'd PCT/PTO 12 FEB 2002

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							YES	NO
	AA	2104845	8.25.93	CA	C09D	161/00	X	
	AB	2127761	08.24.01	CA	C09D	175/04	X	
	AC	2073115	08.24.01	CA	C09D	175/14	X	
	AD	2102170	08.24.01	CA	C09D	133/00	X	
	AE	038 127 A1	24.03.81	EP	B05D	7/26	X	
	AF	678 536 A1	21.04.95	EP	C08G	18/08		X
	AG	594 071 A1	15.10.93	EP	C09D	201/02	X	
	AH	2078650	08.24.01	CA	C09D	133/00	X	
	AI	WO95/14721	1/6/95	EP	C08F	290/14		X
	AJ	WO97/49745	31.12.97	EP	C08G	18/08	X	
	AK	WO97/49747	31.12.97	EP	C08G	18/75	X	
	AN	WO96/12747	2/5/96	EP	C08F	285/00		X
	AO	WO92/22615	23.12.92	EP	C09D	151/08		X
	AP	WO94/10211	11.05.94	EP	C08F	8/30	X	

**OTHER ART** (Including Author, Title, Date, Pertinent Pages, Etc.)

	AQ	English Language Abstract Cover Page Of The International Publication WO96/12747
	AR	English Language Abstract DE 43 28 092 A1.
	AS	English Language Abstract Cover Page Of The International Publication WO95/14721
	AT	English Language Abstract Cover Page Of The International Publication WO00/53687

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							YES	NO
	AA	649 865 B1	15.10.94	EP	C08G	18/67		X
	AB	634 431 A1	13.07.94	EP	C08G	18/12		X
	AC	WO00/53687	14.09.00	EP	C09D	133/00		X
	AD	276 501 A2	26.09.87	EP	C11D	1/42	X	
	AE	39 03 804 C2	13.12.01	DE	C09D	175/06		x
	AF	397 806 B1	24.07.89	EP	C08G	18/08		X
	AG	394 737 A1	09.04.90	EP	C09D	175/06	X	
	AH	590 484 A1	22.09.93	EP	C08G	18/08	X	
	AI	574 417 B1	01.02.92	EP	B05D	5/06		X
	AJ	249 201 A2	10.06.87	EP	C09D	3/58	X	
	AK	297 576 A1	30.06.88	EP	C09D	3/72		X
	AN	708 788 B1	16.06.94	EP	C08G	18/08		X
	AO	596 460 A2	03.11.93	EP	C09D	201/00		X
	AP	424 705 A2	04.10.90	EP	C08F	283/00	X	

**OTHER ART** (Including Author, Title, Date, Pertinent Pages, Etc.)

	AQ	English Language Abstract EP 436 941
	AR	English Language Abstract EP 260 447.
	AS	English Language Abstract EP 297 576.
	AT	BASF Lacke + Farben, PCT/EP94/01956, filed June 16, 1993, Entitled "Process for the preparation of polyurethane resins and their use and the use of ethoxyethyl propionate for the preparation of polyurethane resins", pages 1-38.

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							YES	NO
	AA	594 068 A1	15.10.93	EP	C09D	201/02	X	
	AB	358 153 B1	04.09.89	EP	C09D	143/04		X
	AC	WO97/12945	10.04.97	EP	C09D	5/04	X	
	AD	WO82/02387	22.07.82	EP	C08F	2/02	X	
	AE	WO94/10212	11.05.94	EP	C08F	8/30	X	
	AF	2012191A	21.12.78	UK	B2E	1103	X	
	AG	581 211 A1	23.07.93	EP	C08G	18/08		X
	AH	256 540 A2	15.08.87	EP	C09D	3/49		X
	AI	2102169	94.05.07	CA	C09D	175/14	X	
	AJ	584 818 B1	26.08.93	EP	C08G	18/08		X
	AK	234 362 A1	06.02.87	EP	C08G	18/08		X
	AN	256 540 A2	15.08.87	EP	C09D	3/49		X
	AO	522 419 A1	30.06.92	EP	C08G	18/67		X
	AP	596 461 A2	03.11.93	EP	C09D	201/00		X

**OTHER ART** (Including Author, Title, Date, Pertinent Pages, Etc.)

	AQ	English Abstract for EP 540 884 A1
	AR	English Abstract for DE 28 48 906 A1
	AS	English Abstract for 19613547
	AT	

EXAMINER

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**FOREIGN PATENT DOCUMENTS**

Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AA	3628124	03.03.88	DE	C09D	3/727		X
	AB	4421823	04.01.96	DE	C09D	175/04		X
	AC							
	AD	3828098	08.03.90	DE	C08G	77/58		X
	AE							
	AF	4011045	10.10.91	DE	B05D	7/02		X
	AG	4020316	09.01.92	DE	C09D	183/04		X
	AH	4025215	13.02.92	DE	C08G	59/50		X
	AI	4122743	26.1..92	DE	C09D	4/00		X
	AJ	4204518	19.08.93	DE	B05D	1/36		X
	AK				C09D	5/36		X
	AN	4303570	11.08.94	DE	B05D	7/26		X
	AO	3706095	27.08.87	DE	C98G	77/20		X
	AP							

**OTHER ART** (Including Author, Title, Date, Pertinent Pages, Etc.)

	AQ	English Abstract for DE 38 28 098 A1
	AR	English Abstract for DE 40 11 045 A1
	AS	English Abstract for DE 40 20 316 A1
	AT	English Abstract for DE 40 25 215 A1

EXAMINER

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FORM PTO-1449  
(MODIFIED)US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN 5551

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In re Application of: ARMBUST et al.

Serial No.: Herewith

Filed: February 12, 2002

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Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AA	43 28 092 A1	23.02.95	DE	C09D	175/04		X
	AB	39 03 804 C2	13.12.01	DE	C09D	175/06		X
	AC	44 21 823 A1	04.01.96	DE	C09D	175/04		X
	AD	19613547	07.11.96	DE	C09D	5/46		X
	AE	19709465	17.09.98	DE	B05D	7/26		X
	AF	540 884 A1	03.10.92	EP	B05D	3/06		x
	AG	2848906	17.05.79	DE	C08F	20/18		X
	AH	WO94/22969	13.10.94	EP	C09D	133/06		X
	AI	436 941 B1	07.17.91	EP	CO8 G	18/08		X
	AJ	568 967 A3	04.05.93	EP	B05D	3/00		X
	AK	2033530	07.13.91	CA	C09D	175/04	X	
	AN							
	AO							
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	AQ✓	CHEMICAL ABSTRACTS, vol. 84, no. 18, 3. May 1976 (1976-05-03), Columbus, Ohio, US; abstract no. 123526w, Page 94; XP002153878; & JP 50 095388 A (TOA GOSEI CHEM IND CO, LTD) 29. July 1975 (1975-07-29)
	AR	English Abstract for DE43 28 092 A1
	AS✓	English Abstract for EP0 604 992 A1
	AT	English Abstract for DE 197 09 465 A1

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							YES	NO
	AA	228 003 A1	11.12.86	EP	B05D	7/16		X
	AB	234 361 A1	06.02.87	EP	C08G	18/08		X
	AC	581 211 A1	23.07.93	EP	C08G	18/08		X
	AD	256 540 A2	15.08.87	EP	C09D	3/49		X
	AE							
	AF	584 818 B1	26.08.93	EP	C08G	18/08		X
	AG	234 362 A1	06.02.87	EP	C08G	18/08		X
	AH	0 195 931 A1	19.02.86	EP	C09D	3/80		X
	AI	38 07 571 C3	10.06.98	DE	C08L	83/07		X
	AJ	0 297 576 B1	30.06.88	EP	C09D	175/06		X
	AK	260 447 B1	15.08.87	EP	C08F	283/10		X
	AN	523 610 A1	14.07.92	EP	C09D	163/00		X
	AO	WO94/10213	11.05.94	EP	C08F	8/30	X	
	AP	WO94/22968	13.10.94	EP	C09D	133/06		X

**OTHER ART** (Including Author, Title, Date, Pertinent Pages, Etc.)

	AQ	English Abstract for DE 41 22 743 C1
	AR	English Abstract for DE 43 03 570 A1
	AS	English Abstract for EP 0297 576 b1
	AT	English Abstract for WO 94/22968 On Front Page Of The International Publication

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